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Substitute for form 1449A/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 1 of 1

### Completion if Known

<b>Application Number</b>	09/811,919
<b>Filing Date</b>	March 19, 2001
<b>First Named Inventor</b>	John D. Affinito
<b>Group Art Unit</b>	1762
<b>Examiner Name</b>	
<b>Attorney Docket Number</b>	BAT 0029 IA

## U.S. PATENT DOCUMENTS

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**FOREIGN PATENT DOCUMENTS**

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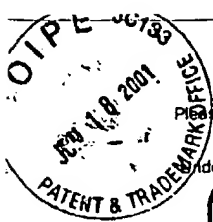
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<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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<b>Substitute for form 1449A/PTO</b>  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)  Sheet <span style="border: 1px solid black; padding: 0 10px;">1</span> of <span style="border: 1px solid black; padding: 0 10px;">6</span>			<b>Complete If Known</b>	
			Application Number	09/811 919
			Filing Date	March 19, 2001
			First Named Inventor	John D. Affinito
			Group Art Unit	
			Examiner Name	
			Attorney Docket Number	BAT 0029 IA

U.S. PATENT DOCUMENTS						
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		Number	Kind Code <sup>2</sup> (if known)			
		3,475,307		Knox et al.	10/28/1969	
		3,607,365		Lindlof	09/21/1971	
		4,098,965		Kinsman	07/04/1978	
		4,283,482		Hattori et al.	08/11/1981	
		4,581,337		Frey et al.	04/08/1986	
		4,624,867		Iijima et al.	11/25/1986	
		4,695,618		Mowrer	09/22/1987	
		4,842,893		Yializis et al.	06/27/1989	
		4,954,371		Yializis	09/04/1990	
		5,032,461		Shaw et al.	07/16/1991	
		5,237,439		Misono et al.	08/17/1993	
		5,260,095		Affinito	11/09/1993	
		5,354,497		Fukuchi et al.	10/11/1994	
		5,395,644		Affinito	03/07/1995	
		5,427,638		Goetz et al.	06/27/1995	
		5,440,446		Shaw et al.	08/08/1995	
		5,536,323		Kirlin et al.	07/16/1996	
		5,547,508		Affinito	08/20/1996	
		5,554,220		Forrest et al.	09/10/1996	

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		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				
M			EP 0 299 753		The BOC Group, Inc.	01/18/1989	S	
			EP 0 340 935		Spectrum Control, Inc.	11/08/1989		
			EP 0 390 540		Sharp Kabushiki Kaisha	10/03/1990		
			EP 0 547 550		Matsushita Electric Ind Co.	06/23/1993		
			EP 0 590 467		Rohm GMBH	04/06/1994		
			EP 0 722 787		Catalina Coatings, Inc.	07/24/1996		
			EP 0 787 826		Becton Dickinson and Co.	08/06/1997		
			EP 0 916 394		Sharp Kabushiki Kaisha	05/19/1999		
			EP 0 931 850		Leybold Systems GmbH	07/28/1999		
			EP 0 977 469		Hewlett-Packard Company	02/02/2000		

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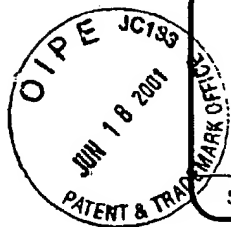
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Sheet **2** of **6**

### Complete if Known

Application Number: **09/811,919**  
Filing Date: **March 19, 2001**  
First Named Inventor: **John D. Affinito**  
Group Art Unit:  
Examiner Name:  
Attorney Docket Number: **BAT 0029 IA**

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		Number	Kind Code <sup>2</sup> (if known)			
		5,576,101		Saitoh et al.	11/19/1996	
		5,607,789		Treger et al.	03/04/1997	
		5,620,524		Fan et al.	04/15/1997	
		5,629,389		Roitman et al.	05/13/1997	
		5,654,084		Egert	08/05/1997	
		5,665,280		Tropsha	09/09/1997	
		5,681,615		Affinito et al.	10/28/1997	
		5,681,666		Treger et al.	10/28/1997	
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		5,686,360		Harvey, III et al.	11/11/1997	
		5,693,956		Shi et al.	12/02/1997	
		5,711,816		Kirlin et al.	01/27/1998	
		5,725,909		Shaw et al.	03/10/1998	
		5,731,661		So et al.	03/24/1998	
		5,747,182		Friend et al.	05/05/1998	
		5,757,126		Harvey, III et al.	05/26/1998	
		5,759,329		Krause et al.	06/02/1998	
		5,792,550		Phillips et al.	08/11/1998	
		5,811,177		Shi et al.	09/22/1998	

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		Office <sup>3</sup>	Number <sup>4</sup>				
			WO 87 07848	Spectrum Control, Inc.	12/30/1987		
			WO 95 10117	Catalina Coatings, Inc.	04/13/1995		
			WO 97 04885	Battelle Memorial Institute	02/13/1997		
			WO 97 22631	Talison Research	06/26/1997		
			WO 98 10116	Talison Research	03/12/1998		
			WO 98 18852	Catalina Coatings, Inc.	05/07/1998		
			WO 99 16557	Battelle Memorial Institute	04/08/1999		
			WO 99 16931	Battelle Memorial Institute	04/08/1999		
			DE 19603746	Bosch GmbH Robert	04/24/1997		
			JP 09059763	Matsushita Electric Works	03/04/1997		

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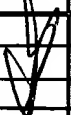
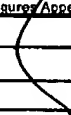

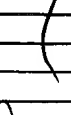
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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(use as many sheets as necessary)</i>			Application Number	09/811,919	
			Filing Date	March 19, 2001	
			First Named Inventor	John D. Affinito	
			Group Art Unit		
			Examiner Name		
Sheet	3	of	6	Attorney Docket Number	BAT 0029 IA

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		Number	Kind Code <sup>2</sup> (if known)			
		5,811,183		Shaw et al.	09/22/1998	
		5,821,692		Rogers et al.	10/13/1998	
		5,844,363		Gu et al.	12/01/1998	
		5,872,355		Hueschen	02/16/1999	
		5,902,641		Affinito et al.	05/11/1999	
		5,902,688		Antoniadis et al.	05/11/1999	
		5,904,958		Dick et al.	05/18/1999	
		5,912,069		Yializis et al.	06/15/1999	
		5,919,328		Tropsha et al.	07/06/1999	
		5,922,161		Wu et al.	07/13/1999	
		5,945,174		Shaw et al.	08/31/1999	
		5,948,552		Antoniadis et al.	09/07/1999	
		5,955,161		Tropsha	09/21/1999	
		5,965,907		Huang et al.	10/12/1999	
		5,968,620		Harvey et al.	10/19/1999	
		5,996,498		Lewis	12/07/1999	
		6,013,337		Knors	01/11/2000	
		6,045,864		Lyons et al.	04/04/2000	
		6,083,628		Yializis	07/04/2000	

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		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				
			JP 08325713		Matsushita Electric Works	12/10/1996		
			JP 63136316		Hitachi Ltd.	06/08/1988		
			JP 64-18441		Yoshida et al.	01/23/1989		
			JP 2-183230		Akagi et al.	07/17/1990		
			BE 704 297		Continental Oil Company	02/01/1968		
								

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Sheet

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### Compleat if Known

Application Number	09/811,919
Filing Date	March 19, 2001
First Named Inventor	John D. Affinito
Group Art Unit	
Examiner Name	
Attorney Docket Number	BAT 0029 IA

### OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
<i>[Signature]</i>		AFFINITO, J.D., ET AL., "Vacuum Deposition of Polymer Electrolytes on Flexible Substrates," "Proceedings of the Ninth International Conference on Vacuum Web Coating," November 1995 ed R. Bakish, Bakish Press 1995, pg. 20-36	
		VOSSSEN, J.L., ET AL., THIN FILM PROCESSES, Academic Press, 1978, Part II, Chapter 11-1, Glow Discharge Sputter Deposition, p. 12-63; Part IV, Chapter IV-1, Plasma Deposition of Inorganic Compounds and Chapter IV-2 Glow Discharge Polymerization, p. 335-397	
		PENNING, F.M., ELECTRICAL DISCHARGES IN GASSES, Gordon and Breach Science Publishers, 1965, Chapters 5-6, p. 19-35, and Chapter 8, p. 41-50	
		AFFINITO, J.D., ET AL., "High Rate Vacuum Deposition of Polymer Electrolytes," Journal Vacuum Science Technology A 14(3), May/June 1996 <i>no page numbers</i>	
		INOUE ET AL., FABRICATION OF A THIN FILM OF MNA BY VAPOUR DEPOSITION, Proc. Jpn. Congr. Mater. Res., vol. 33, pg. 177-9, 1990	
		AFFINITO, J.D. ET AL., "PML/Oxide/PML Barrier Layer Performance Differences Arising From Use of UV or Electron Beam Polymerization of the PML Layers," Thin Solid Films, Elsevier Science S.A., Vol. 308-309, October 31, 1997, pgs. 19-25	
		GUSTAFSSON, G. ET AL., "Flexible light-emitting diodes made from soluble conducting polymers," Nature, Vol. 357, 11 June 1992, pgs. 447-479	
		AFFINITO, J.D. ET AL., "Polymer-Oxide Transparent Barrier Layers," SVC 39th Annual Technical Conference, Vacuum Web Coating Session, 1996, pgs. 392-397 <i>no page numbers</i>	
		AFFINITO, J.D. ET AL., "PML/Oxide/PML Barrier Layer Performance Differences Arising From Use of UV or Electron Beam Polymerization of the PML Layers," SVC 40th Annual Technical Conference, 1997, pgs. 19-25	
		WONG, C.P., "Recent Advances in IC Passivation and Encapsulation: Process Techniques and Materials," Polymers for Electronic and Photonic Applications, AT&T Bell Laboratories, 1993, pgs. 167-209	
		DE GRUYSE, R. ET AL., "SPUTTERED TRANSPARENT BARRIER LAYERS, pgs. 190-198	

*no date available*

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<i>[Signature]</i>		TROPSHA ET AL., "Activated Rate Theory Treatment of Oxygen and Water Transport through Silicon Oxide/Poly(ethylene terephthalate) Composite Barrier Structures," J. Phys. Chem B 1997, pgs. 2259-2266	
		TROPSHA ET AL., "Combinatorial Barrier Effect of the Multilayer SiO <sub>2</sub> Coatings on Polymer Substrates," 1997 Society of Vacuum Coaters, 40th Annual Technical Conference Proceedings <i>no page numbers</i>	
		PHILLIPS ET AL., "Evaporated Dielectric Colorless Films on PET and OPP Exhibiting High Barriers Toward Moisture and Oxygen," Society of Vacuum Coaters, 36th Annual Technical Conference Proceedings (1993), pgs. 293-300	
		CHAHROUDI, "Transparent Glass Barrier Coatings for Flexible Film Packaging," Society of Vacuum Coaters, 34th Annual Technical Conference Proceedings (1991), pgs. 130-133	
<i>[Signature]</i>		YAMADA ET AL., "The Properties of a New Transparent and Colorless Barrier Film," Society of Vacuum Coaters, 38th Annual Technical Conference Proceedings (1995), pgs. 28-31	

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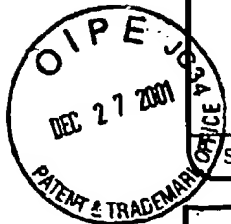
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*(use as many sheets as necessary)*

Sheet	1	of	2	Attorney Docket Number	BAT 0029 IA
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Sheet	2	of	2
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Substitute for form 1449B/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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of

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**Complete if Known**

Application Number	09/811,919
Filing Date	March 19, 2001
First Named Inventor	John D. Affinito
Group Art Unit	1762
Examiner Name	
Attorney Docket Number	BAT 0029 IA

#### OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Cite No. 1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T
		SHI, M.K., et al., Plasma treatment of PET and acrylic coating surfaces-I. In situ XPS measurements, Journal of Adhesion Science and Technology, March 2000, 14(12), pgs. 1-28	
		SHI, M.K., et al., In situ and real-time monitoring of plasma-induced etching PET and acrylic films, Plasmas and Polymers, Dec. 1999, 4(4), pgs. 1-25	
		AFFINITO, J.D., et al., Vacuum Deposited Conductive Polymer Films, The Eleventh International Conference on Vacuum Web Coating, no earlier than Feb. 1998, pgs. 200-213	
		MAHON, J.K., et al., Requirements of Flexible Substrates for Organic Light Emitting Devices in Flat Panel Display Applications, Society of Vacuum Coaters, 42nd Annual Technical Conference Proceedings, 1999, pgs. 456-459	

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**Complete if Known**

<b>Application Number</b>	09/811,919
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<b>Filing Date</b>	March 19, 2001
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<b>First Named Inventor</b>	<b>John D. Affinito</b>
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Group Art Unit	1762
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**Examiner Name**

Attorney Docket Number	BAT 0029 IA
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**MAHON, J.K., ET AL., Requirements of Flexible Substrates for Organic Light Emitting Devices in Flat Panel Display Applications, Society of Vacuum Coaters, 42nd Annual Technical Conference Proceedings, October 1999, pgs. 456-459**

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